



*State of Louisiana*  
DIVISION OF ADMINISTRATION

OFFICE OF HUMAN RESOURCES

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**DIVISION OF ADMINISTRATION**

**PERSONNEL POLICY NO. 55**

**EFFECTIVE DATE:** January 10, 2003  
Revised: 8/26/05

**SUBJECT:** Mandatory Training

**AUTHORIZATION:**   
Barbara Goodson, Assistant Commissioner

**I. POLICY:**

The Division of Administration (DOA) recognizes that well-trained employees are critical to the success of the agency. Toward that end, it is the policy of the DOA that employees will comply with the mandatory training requirements of the DOA through the Office of Information Services (OIS) as well as the training requirements of the Department of State Civil Service (DSCS). Participation in training classes will be allowed to the maximum extent possible, without requiring the use of accumulated leave.

**II. PURPOSE:**

This policy is established to promote the development of management and supervisory skills that will provide the foundation for the leadership, decision making and professionalism necessary to achieve the agency's mission. Further, the policy is intended to assure that employees are aware of training requirements and available training programs, to set forth the rules governing participation in the training programs and to define the roles and responsibilities for each aspect of training.

**III. DEFINITIONS:**

- **Comprehensive Public Training Program (CPTP)** – A state-funded training program for state employees operated from the DOA. Through the CPTP, employees are offered management development training, supervisory training, and general skills classes.
- **CPTP Coordinator** – The Classification and Compensation Manager of the Office of Human Resources is designated as the liaison between the DOA and the CPTP.
- **Position** – A collection of duties and responsibilities assigned to an individual classified employee. If the position is newly created or an employee has exited the position, it is considered vacant. The duties and responsibilities are documented on a Civil Service Position Description (SF-3). The position is assigned to a Civil Service job title based on the duties and responsibilities assigned. There are usually multiple positions assigned to a job title, although a few job titles have only one position assigned.

- **Job Title** – The assigned name attached to (generally) multiple positions which are characterized by a similar group of work assignments, duties and responsibilities, wherein work is of the same nature and is performed at the same skill/responsibility level.
- **Training Liaison** – The employee officially designated by the section head to be responsible for managing the training needs and obligations discussed in this policy. Serves as the liaison with the applicable individuals at OIS, the CPTP Coordinator, the section's employees and the section head.
- **Supervisor** – When used in this policy, the term supervisor refers to supervisors, managers and administrators.
- **Organizational Control Factor** – A job rating factor designated by the DSCS to indicate the level of managerial control typically exercised by employees in managerial or supervisory jobs. The Organizational Control Factor is established and maintained by the Compensation Division of the DSCS.
- **Performance Planning and Review (PPR)** – The systematic process mandated by the DSCS to formally communicate expectations to employees and then measure that employee's performance, and to provide a means for supervisors to assist employees in improving job performance.

#### **IV. TRAINING MANDATES:**

Training is mandated by the DSCS as well as by the DOA.

##### **A. TRAINING MANDATED BY THE DSCS**

###### **1. AUTHORITY FOR TRAINING MANDATED BY THE DSCS**

This policy is authorized by Civil Service Rule 7.4(f) (<http://www.dscs.state.la.us>), which is generally explained in Civil Service General Circulars 1473 and 1481, which can be found on the Civil Service Web Site at <http://www.dscs.state.la.us/progasst/gencirc/GENCIRC02/001473.htm> and <http://www.dscs.state.la.us/progasst/gencirc/GENCIRC02/001481.htm>.

###### **2. APPLICABILITY FOR TRAINING MANDATED BY THE DSCS**

This policy applies to all employees of all sections of the DOA, ancillary and appropriated, who occupy or who are appointed to, positions in job titles assigned by DSCS to supervisory groups 1, 2, and 3.

###### **3. THE THREE SUPERVISORY GROUPS ARE DEFINED BY THE DSCS AS SHOWN BELOW:**

- Supervisory Group 1 – job titles with a rating of 5 or 6 for the Organizational Control Factor.

- Supervisory Group 2 – job titles with a rating of 7 or 8 for the Organizational Control Factor.
- Supervisory Group 3 – job titles with a rating of 9 or higher for the Organizational Control Factor.

**NOTE:** Not all jobs with a rating of 5 or higher for the factor Organizational Control appear in the supervisory groups. Jobs that were identified as having functional or regulatory supervision, rather than direct supervision of incumbents, may have been excluded by the DSCS.

**4. THE TRAINING REQUIRED BY THE DSCS:**

For each supervisory group, a group of CPTP training classes (Attachment A) must be successfully completed by each employee in a position with a job title assigned to that supervisory group. The DOA job titles affected by this policy may be obtained from the section's training liaison.

**5. TIME PERIOD FOR MEETING TRAINING REQUIREMENTS MANDATED BY THE DSCS**

- a. EMPLOYEES OCCUPYING A POSITION WITH A JOB TITLE ASSIGNED TO SUPERVISORY GROUP 1 ON JULY 1, 2002:**

Employees, who, on July 1, 2002, were in a position in a job title assigned to supervisory group 1, have three (3) years from July 1, 2002, or until June 30, 2005, to meet the mandatory training requirements for Supervisory Group 1.

- b. EMPLOYEES ENTERING SUPERVISORY GROUP 1 AFTER JULY 1, 2002:**

Employees who, on July 1, 2002, were not in a position in a job title assigned to a Supervisory Group and who, on or after July 2, 2002, are hired, reallocated or promoted into a position in a job title assigned to Supervisory Group 1, have three (3) years from the date of the hire, reallocation or promotion to meet the mandatory training requirements for Supervisory Group 1.

**Example:** On July 1, 2002, an employee is in a position with a job title which is not assigned to a Supervisory Group. On November 15, 2002, the employee is promoted into a position with a job title assigned to Supervisory Group 1. The employee has until November 14, 2005 to complete the training required for jobs assigned to Supervisory Group 1.

**c. EMPLOYEES PROMOTING FROM SUPERVISORY GROUP 1 TO 2:**

Employees who were in a position in a job title assigned to Supervisory Group 1 have three years from the date they enter the position or from July 1, 2002 (whichever is later) to complete the mandatory training required for Supervisory Group 1. If those employees are then hired, reallocated or promoted into a position in a job title assigned to Supervisory Group 2, they have three (3) years from the date of the hire, reallocation or promotion to meet the mandatory training requirements for Supervisory Group 2. The employees are still obligated to complete the training required for Supervisory Group 1 in the original 3-year period.

**Example:** An employee is hired on July 30, 2002, into a position with a job title assigned to Supervisory Group 1. That employee promotes into a job assigned to Supervisory Group 2 on December 15, 2004. The employee has until December 14, 2007 to complete the training required for Supervisory Group 2. He is still required to complete the training required for Supervisory Group 1 by July 29, 2005.

**d. SPECIAL PROVISIONS FOR EMPLOYEES WHO "SKIP" ONE OR MORE SUPERVISORY GROUPS:**

1. An employee who is in a position with a job title which is not assigned to a Supervisory Group, and who is hired, reallocated or promoted into a position in a job title assigned to Supervisory Group 2, has four (4) years (from the date of the hire, reallocation or promotion to the position in a job title assigned to Supervisory Group 2), to meet the mandatory training requirements for Supervisory Groups 1 and 2.

**Example:** An employee is in a position with a job title not assigned to a Supervisory Group. On December 15, 2003, his position is reallocated to a job title assigned to Supervisory Group 2. That employee has until December 14, 2007, to complete the required training for Supervisory Groups 1 and 2.

2. An employee who is in a position with a job title which is not assigned to a Supervisory Group, and who is hired, reallocated or promoted into a position in a job title assigned to Supervisory Group 3, has four (4) years (from the date of the hire, reallocation or promotion to the position in a job title assigned to Supervisory Group 3), to meet the mandatory training requirements for Supervisory Groups 1, 2 and 3.

**Example:** An employee is in a position with a job title not assigned to a Supervisory Group. On December 15, 2003, his position is reallocated to a job title assigned to Supervisory Group 3. That

employee has until December 14, 2007, to complete the required training for Supervisory Groups 1, 2 and 3.

3. An employee who is in Supervisory Group 1, and who is hired, reallocated or promoted into a position in a job title assigned to Supervisory Group 3, has four (4) years (from the date of the hire, reallocation or promotion to the position in a job title assigned to Supervisory Group 3) to meet the mandatory training requirements for Supervisory Groups 2 and 3. The employee is still obligated to complete the training required for Supervisory Group 1 by the original deadline.

**Example:** An employee is hired into a position with a job title assigned to Supervisory Group 1 on July 15, 2002. On October 20, 2004, he is promoted to a position with a job title assigned to Supervisory Group 3. He has four years from the date of his promotion, or until October 19, 2008, to meet the training requirements for Supervisory Groups 2 and 3. He must still complete the training requirements for Supervisory Group 1 by July 14, 2005.

**e. "GRANDFATHER CLAUSE":**

Employees eligible for the Grandfather Clause are those who are in a job title assigned to Supervisory Group 1, 2, or 3, as of July 1, 2002. Those employees have three years or until June 30, 2005, to obtain the training mandated by Civil Service for the Supervisory Group assigned to the job title that they occupied as of July 1, 2002, however, those employees are not required to obtain the training mandated by Civil Service for any Supervisory Group that is lower than the Supervisory Group assigned to the job title they occupied on July 1, 2002.

**6. EXCEPTIONS TO MANDATED CIVIL SERVICE TRAINING REQUIREMENTS:**

Employees who have earned the Certificate in Supervisory Techniques (CST) shall be considered as having met all Civil Service mandated training requirements for Supervisory Group 1 and Supervisory Group 2. Employees who have earned the Certified Public Manager (CPM) designation shall be considered as having met the Civil Service mandated training requirements for all three Supervisory Groups.

**EMPLOYEES MAY SUBSTITUTE CLASSES TAKEN PREVIOUSLY FOR SOME REQUIRED CLASSES AS FOLLOWS:**

Supervisory Group 1 – CLASS #2

If the employee has successfully completed the class, Key Elements of Civil Service Disciplinary Actions (1 day), it will be substituted for the class, Documenting for Performance and Discipline (1 day).

Supervisory Group 1 - CLASS # 3

If the employee has successfully completed the class, Civil Service Rules and Regulations for Supervisors (2 days), it will count as both days required in Class # 3.

Supervisory Group 1 - CLASS # 4

If the employee has successfully completed the class, Management in State Government, Level 1 (4 days), or Effective Supervisory Practices, Part 1 (4 days), either may be substituted for Developing a Motivated Workgroup (1.5 days).

If the employee has successfully completed all three of the Level 1 modules (4 days), [Fundamentals of Leadership, New Employee Orientation, and Effective Performance Management], that will be substituted for Developing a Motivated Workgroup (1.5 days).

Supervisory Group 2 - Class #2 and Class #3

If the employee has successfully completed Management in State Government Level 3, that may be substituted for Effective Problem Solving (1.5 days).

If the employee has successfully completed Level 3 Module, Leading Problem Solving Groups, which may be substituted for Effective Problem Solving (1.5 days).

Supervisory Group 3 - CLASS # 2

If the employee has successfully completed the class, Managing Diversity (1.5 days), that class will be substituted for the class titled Individual Differences & Diversity in the Workplace (1.5 days).

**7. SUBSTITUTIONS FOR MANDATED CIVIL SERVICE TRAINING REQUIREMENTS:**

Some employees have been awarded certifications or have previously taken training courses, seminars, etc. (hereinafter referred to as courses) which covered topics closely related to those required in this policy. In some situations, those may be substituted for courses required in the policy. In order to request a substitution, the employee will be responsible for presenting documentation to the CPTP Coordinator for presentation to the CPTP Policy Board which will make the final decision regarding the substitution. The documentation must include all or some of the following depending on the substitution requested:

- A copy of any certificate the employee received related to the course,
- The title of the course previously taken,
- The title of the course for which the substitution is requested,
- An outline of the course content,
- The date the course was completed,
- The name of the provider of the course (university, firm, national organization, etc.)
- The number of hours or credit units or continuing education units awarded upon successful completion of the course.
- Any other documentation required by the CPTP Policy Board.

**B. DOA REQUIREMENTS FOR MANDATED CIVIL SERVICE TRAINING**

Upon hiring, reallocating or promoting into job titles within Supervisory Groups 1, 2, and 3, DOA employees must, within the first two months, take *PPR for Supervisors* followed by *Documenting for Performance and Discipline*. Employees within Supervisory Groups 1, 2, and 3 are responsible for scheduling, attending and completing a total of four (4) training classes per year until all mandatory training is completed for their supervisory group(s).

**C. TRAINING MANDATED BY THE DOA AND PROVIDED THROUGH THE OFFICE OF INFORMATION SERVICES (OIS)**

**1. PURPOSE**

All employees whose jobs require the use of a PC to perform work assignments are required to be proficient in the use of Microsoft Outlook and Word. Depending on job duties, employees may also be required to be proficient in the use of other components which are part of the standard DOA office suite (such as Excel, Access, and PowerPoint). For example, employees who are required to develop presentations may be expected to develop proficiencies in PowerPoint. Applicable employees will be required to complete training offered by the (OIS) in their Productivity Workshops.

DOA training information can be found on the [Training Main page](#) of the DOA intranet and includes the following:

- a. Computer Based Training Courses (CBT): For an employee with little experience using a Microsoft Office component, the CBT courses are the first place to start. Instructions for self registering, logging onto the training site and other helpful hints can be accessed from the DOA Training - CBT Instructions page.
- b. OIS Productivity Workshops: Once an employee has completed the CBT course(s) and/or has gained experience using the software, more in-depth training on Microsoft products is available through Productivity Workshops administered by the Office of Information

Services (OIS). Registration for these workshops is handled through OIS from the DOA Training - OIS Productivity Workshops page.

Applicable employees will be required to complete training offered by the Office of Information Services (OIS) in their Productivity Workshops.

## **2. APPLICABILITY FOR TRAINING MANDATED BY THE DOA THROUGH THE OIS**

This policy applies to any employee of any section of the DOA, ancillary and appropriated, who occupies a position which requires the use of a PC and whose supervisor believes requires training on the use of the PC.

The section head will make the decision regarding which employees in his section are required to take which courses. This decision will be based on the duties of the employee and the employee's skill level. The section head's requirements for the employee will become that employee's mandated training and the employees will be required to complete training offered by the Office of Information Services (OIS) in their Productivity Workshops. The training will be included in the employee's performance expectations in his PPR. The provisions of this policy will be applicable as they relate to that training.

## **V. PROCEDURES:**

The CPTP Coordinator will share with the training liaison, available information regarding which employees are covered in Supervisory Groups 1, 2 and 3 as well as which courses are required for those employees. Each training liaison will, to the best of his ability, verify the information and distribute same to each applicable employee and that employee's supervisor. The training liaison will inform employees of the appropriate method of registration and provide the necessary forms and Internet sites.

Section heads, through supervisors, will determine which computer related courses each employee will be required to complete. Section heads, through supervisors, will inform the employee which courses are mandated and the time frame in which the courses must be completed.

Each supervisor will include the completion of that year's required training as an expectation in the employee's PPR.

The employee will make a sincere effort to register for those classes which he is mandated to complete. All registrations should be pre-approved by the employee's supervisor. Registrations should be processed through the training liaison. Available classes have enrollment limits and training resources are limited, consequently, employees should register for only those courses which are required under this policy.



**Employees are encouraged to enroll in courses offered by the CPTP which have relevance to their jobs but which are not included in this mandatory training policy.**

The training liaison will assure that all appropriate approvals and signatures are on registration forms prior to submission to the CPTP Coordinator.

The CPTP Coordinator will, to the extent possible, review the forms and forward them to the CPTP.

All registration forms will be handled expeditiously at all steps in the process by all concerned, specifically, the employee making application, the training liaison forwarding the application to the CPTP Coordinator, and the CPTP Coordinator forwarding the application to the CPTP.

When employees receive confirmation that they are scheduled for training, they will immediately inform their supervisor as well as the training liaison.

Employees will make every effort to attend those classes for which they are registered. In the event that the employee cannot attend the class, he will notify the training liaison as soon as possible.

Employees should keep records of their attempts to register for classes as well as details of the situation which kept them from attending those classes for which they were registered.

Upon completion of a class, the employee shall provide a copy of any certificate of completion to the training liaison.

During the PPR planning session for applicable employees, the supervisor will include the completion of the required training courses as an expectation under the factor "Adaptability." In the rating process, the supervisor will rate performance based on the employee's attempts to register and actual completion of the required courses.

## **VI. RESPONSIBILITIES:**

### **Section Heads are responsible for:**

Assuring that each employee under his/her supervision, including supervisory and management personnel, current and new:

- Is made aware of this policy and its contents as well as any forthcoming revisions, and
- Is informed that he must abide by the terms of the policy, and
- Is informed of the consequences of any violations of this policy.

Appointing an individual to serve as the section's training liaison, notifying the Office of Human Resources of the appointment, and assuring that the

training liaison has the information and authority necessary to fulfill the responsibilities assigned.

Assuring that all employees are informed of required PC proficiencies and mandated training, provided with the appropriate forms and told of the appropriate procedures for making application for training.

Assuring that all employees are allowed to participate in training programs offered in a fair and non-discriminatory manner.

Assuring that employees attend scheduled classes whenever feasible.

Assuring that employees are informed of their obligation to report to the training liaison for their section when they are unable to attend a scheduled class.

Providing informal discussions of complaints related to training in an effort to resolve problems prior to the filing of a formal grievance. Maintaining records of the proceedings in any complaint or grievance.

Assuring that the training liaison is informed of his/her responsibilities and given the authority to perform the assigned duties.

Assuring that the training liaison expedites the disposition of class registration forms and reports to the CPTP Coordinator when an employee is unable to attend a scheduled class.

Assuring that positions which require the use of a PC have that requirement notated in the applicable position description (SF-3).

Determining specific PC proficiency requirements for each employee based on job duties.

Assuring that all supervisors include the completion of required training as an expectation in each affected employee's Performance Planning and Review Form (PPR) planning document under the Factor "Adaptability," and that those employees are rated on their efforts to enroll in, attend, and successfully complete the required training.

Establishing the required approval process for his section and communicating that process to the training liaison and all other employees.

**Supervisors are responsible for:**

Complying with this policy in any manner as instructed by the section head.

Ensuring that all employees begin mandatory training within two months of hiring, reallocating or promoting into positions in job titles assigned to Supervisory Groups 1, 2, and 3 beginning with the course *PPR for Supervisors* followed by *Documenting for Performance and Discipline*, and ensuring that these employees schedule, attend and complete a total of four

(4) training classes per year until all mandatory training is completed for their supervisory group(s).

Ensuring that employees are granted reasonable periods of time to attend training, and that training time is made uniformly available to all affected employees. Failure to make time available uniformly to all affected employees will be considered a violation of Civil Service Rules.

Including the completion of required training as an expectation in each affected employee's Performance Planning and Review Form (PPR) planning document under the Factor "Adaptability" and rating those employees on their efforts to enroll in, attend, and successfully complete the required training.

**Employees in affected job titles are responsible for:**

Obtaining the appropriate approvals from supervisors, managers and the section head for requests for training.

Requesting participation in the required courses beginning with the course *PPR for Supervisors* followed by *Documenting for Performance and Discipline*, and scheduling, attending and completing a total of four (4) training classes per year until all mandatory training is completed.

Maintaining documentation of the explanation of why he was not able to attend the course for which he registered.

Requesting participation in the OIS Productivity Workshops by submitting a completed training request form to OIS.

Attending CPTP training or OIS workshops when scheduled.

Notifying the training liaison as soon as it is known that attendance at a scheduled CPTP class or OIS Productivity Workshop is not possible. Such notification should be made as soon as possible, but no later than six (6) working days prior to a scheduled class.

Providing to the section's training liaison a copy of the CPTP certificate received at the completion of any training course.

Developing those specific PC proficiencies as required by the section head.

**Comprehensive Public Training Program (CPTP) Coordinator is responsible for:**

Making all training and certification requirements of this policy known to employees through the sections' training liaisons and directing employees to the appropriate courses for the employee's job in those instances where choices are allowed within the required training.

Distributing through the sections' training liaisons, information regarding any action taken by the DSCS or the CPTP subsequent to July 1, 2002, that affects the mandatory training requirements.

Processing CPTP class registration forms submitted by employees through the sections' training liaisons.

Providing a compliance report for mandatory training to Civil Service by September 30<sup>th</sup> of each year and maintaining a copy of the report within the Office of Human Resources.

**Training Liaison is responsible for:**

Complying with this policy in any fashion as instructed by the section head.

Contacting the CPTP Coordinator on behalf of the section and the employees.

Reviewing and verifying class registration forms for completeness and accuracy.

Forwarding all pertinent training information to section employees.

Notifying the CPTP coordinator at least 6 working days prior to the date of scheduled training when an employee cannot attend the scheduled training.

Providing to the CPTP Coordinator, a copy of the certificate received by each employee at the completion of any training course.

Expediting the disposition of class registration forms by forwarding the CPTP Class Registration Forms to the CPTP Coordinator as quickly as possible. (There is tremendous competition for space in the required classes and space is generally assigned on a first come, first served basis. Failure on the part of the training liaison to expeditiously process registration forms could result in the inability of our employees to attain the required training.)

Notifying the CPTP Coordinator in advance of who will serve as back-up training liaison, if the training liaison is going to be out of the office for any significant period of time.

**VII. VIOLATION OF POLICY:**

Failure to meet the mandatory training requirements within the specified time **may** result in the withholding of merit increases, disciplinary action or termination.

**VIII. EXCEPTIONS:**

Exceptions to compliance with the policy may be submitted for review and approval to the appointing authority.

## ATTACHMENT "A"

### MANDATORY TRAINING REQUIREMENTS

**Employees are advised to check with the CPTP Coordinator for any revisions or allowable course substitutions that have been made subsequent to the effective date of this policy.**

<p>SUPERVISORY GROUP 1</p> <p>Organizational Control rating of 5 or 6</p> <p>Employees who have attained the CST are considered to have met the requirements of Supervisory Groups 1 and 2.</p>	<p>SG 1 - CLASS # 1</p> <p>Performance Planning and Review (PPR) for Supervisors (1 day) OR</p> <p>PPR Train the Trainer (1 day) OR</p> <p>PPR Refresher (1/2 day)</p>
	<p>SG 1 - CLASS # 2</p> <p>Documenting for Performance and Discipline (1 day)</p>
	<p>SG 1 - CLASS # 3</p> <p><u>Any two days of the following:</u></p> <p>Common Myths that Affect Good Supervision (1 day)</p> <p>Controlling Absenteeism and Tardiness in State Government (1 day)</p> <p>Civil Service Essentials for Being an Effective Supervisor (1 day)</p>
	<p>SG 1 - CLASS # 4</p> <p>Developing a Motivated Workgroup (1.5 days) OR</p> <p>Effective Supervisory Practices, Part 1 (4 days), <b>[course not on open schedule; only available as a special agency request]</b></p>
<p>SUPERVISORY GROUP 2</p> <p>Organizational Control rating of 7 or 8</p> <p>Employees who have attained the CST are considered to have met the requirements of Supervisory Groups 1 &amp; 2.</p>	<p>SG 2 - CLASS # 1</p> <p>Conducting an Effective Job Interview (1.5 days)</p>
	<p>SG 2 - CLASS # 2 &amp; CLASS # 3</p> <p><u>Any two of the following:</u></p> <p>Improving Employee Performance through Coaching (1.5 days) OR</p> <p>Building Better Performance Through Employees Skill Development (2 days) OR</p> <p>Managing and Improving Work Processes (2 days) OR</p> <p>Effective Problem Solving (1.5 days)</p>

**ATTACHMENT "A" - Continued**

**MANDATORY TRAINING REQUIREMENTS**

SUPERVISORY GROUP 3  Organizational Control rating of 9 or higher  Employees who have attained the CPM are considered to have met the requirements of all three Supervisory Groups.	SG 3 - CLASS # 1 Accountability in Work Groups (2 days)
	SG 3 - CLASS # 2 Individual Differences & Diversity in the Workplace (1.5 days)
	SG 3 - CLASS # 3 Managing and Improving Work Processes (2 days) NOTE: This class is required at this level ONLY if it was not taken as one of the Supervisory Group 2 choices.